

MIDDLETON REUTLINGER

2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Direct Phone (502) 625-2820
Direct Fax (502) 588-1974
Email: phogan@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO: Name: Sandra O'Shea, Supervisory Patent Examiner

Address: U.S. Patent & Trademark Office

Fax # 703-305-3594

Date: February 25, 2003

Time:

FROM: Name: Pamela J. Hogan, Intellectual Property Assistant

NUMBER OF PAGES (including cover sheet): 35

☒ ORIGINAL WILL NOT FOLLOW

☐ ORIGINAL WILL FOLLOW BY:

☐ REGULAR MAIL

☐ EXPRESS MAIL

☐ HAND DELIVERY

☐ OTHER (See Remarks)

RE: U.S. Serial No. 09/865,833, filed 05/25/2001

Application of Plunk

For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD

Atty. Dkt. No. ZK522/00008

Sandy, per your phone message today, I am faxing the amendment, which we faxed to the USPTO on August 29th. On the 29th, the Art Group fax number would not go through, so I called Customer Service for another number and was given 703-746-4764. The transmission appears to have gone through. Please call me tomorrow regarding this application. Thank you.

Regards,



MIDDLETON REUTLINGER
2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Direct Phone (502) 625-2820
Direct Fax (502) 588-1974
Email: phogan@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton & Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO: Name: Ismael Negron, Examiner
Address: U.S. Patent and Trademark Office
Fax # 703-746-4764

Date: August 29, 2002

Time:

FROM: Name: Pamela J. Hogan

NUMBER OF PAGES (including cover sheet): 33

<input checked="" type="checkbox"/> ORIGINAL WILL NOT FOLLOW	<input type="checkbox"/> REGULAR MAIL
<input type="checkbox"/> ORIGINAL WILL FOLLOW BY:	<input type="checkbox"/> EXPRESS MAIL
	<input type="checkbox"/> HAND DELIVERY
	<input type="checkbox"/> OTHER (See Remarks)

RE: Application of Plunk
U.S. Serial No. 09/865,833; Filed 05/25/2001
For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD
Our Ref. No. ZK522/00008

REMARKS: This facsimile is in response to the Office Action mailed June 5, 2002. Pursuant to our telephone conversation of yesterday, our credit card payment follows this cover sheet along with the following documents.

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that the following papers are facsimile-transmitted to the Patent and Trademark Office on the date shown below.

- 1) Transmittal Form (PTO/SB/21)
- 2) Fee Transmittal (PTO/SB/17)
- 3) Credit Card Information (PTO-2038)
- 4) Fee Determination (PTO/SB/06)
- 5) Reply A, With Amendment, Under Rule 111 (21 pages)
- 6) Drawings (6 pages)

Pamela J. Hogan
Intellectual Property Assistant
Person Signing

Pamela J. Hogan
Signature

8-29-2002
Date

PTO/SB/21 (08-00)

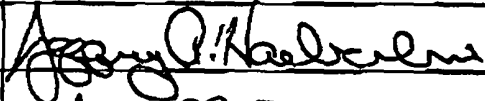
Approved for use through 10/31/2002. OMB 0651-0031

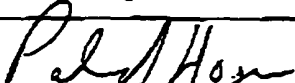
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/865,833	
	Filing Date	05/25/2001	
	First Named Inventor	Plunk, Carlton	
	Group Art Unit	2875	
	Examiner Name	Negron, Ismael	
Total Number of Pages in This Submission	32	Attorney Docket Number	ZK522/00008

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Fee determination Revised Declaration
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Jeffrey A. Haeberlin, Reg. No. 40,630
Signature	
Date	AUG. 29, 2002

CERTIFICATE OF MAILING FIXED			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 8-29-2002			
Typed or printed name	Pamela J. Hogan		
Signature		Date	8-29-2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) **80.00****Complete if Known**

Application Number	09/865,833
Filing Date	05/25/2001
First Named Inventor	Plunk, Carlton
Examiner Name	Negron, Ismael
Group Art Unit	2875
Attorney Docket No.	ZK522/00008

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☐ Check ☒ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) **2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =		
Multiple Dependent	-3** =	1	80.00

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) **80.00**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **0.00****SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	Jeffrey A. Haerberlin	Registration No. (Attorney/Agent)	40,630	Telephone	(502) 584-1135
Signature	<i>Jeffrey A. Haerberlin</i>			Date	8/29/02

WARNING: Information on this form may become public. Credit card information should not be included in this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of)
PLUNK)
Serial No.09/865,833) Examiner: Negron, Ismael
Filed: 05/25/2001) Unit No. 2875
FOR: RETROFIT RECESSED)
FLUORESCENT STRIP)
AND METHOD)

REPLY A, WITH AMENDMENT, UNDER RULE 111

Commissioner of Patent and Trademarks
Washington, DC 20231

Dear Commissioner:

In response to the Office Action mailed June 5, 2002, the Applicant hereby requests reconsideration and further examination, with amendment, pursuant to 37 CFR 1.111.

Please amend the application as follows:

IN THE CLAIMS

Please amend the Claims as follows:

Please cancel claims 1-3, 6-7, 9-10, 14-17, and 20.

Please amend claims 4, 8, 11, 18, and 21-25 as follows:

4. (Once Amended) A retrofit light fixture, comprising:

a low profile reflector having a first side edge and a
second side edge, said reflector being generally
concave in shape;

a ballast;